



In re the Applicant Of: : The following paper(as/have been received
VAN DER KOOY, Derek : : Utility Patent Application Transmittal
Application Number: : : Sheet (in duplicate
not yet assigned : : 68 Sheets of Specification
Filed: concurrently herewith : : 7 Sheets of Figures
For: Primitive Neural Stem Cells : : 6 Sheets of Sequence Listing
and Method for Differentiation :
of Stem Cells to Neural Cells :

Patent and Trademark Office is respectfully requested to place its STAMP on the
POSTAL CARD and place it in the outgoing mail.

9/28/01 jcb
Bereskin & Parr

Respectfully, jc821 U.S. PTO
KDR 09/966768



UTILITY PATENT APPLICATION TRANSMITTAL

Attorney Docket No.

B reskin &

Total Pages

75

First Named Inventor or Application Identifier

VAN DER KOOY, Derek

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Title: PRIMITIVE NEURAL STEM CELLS AND METHOD FOR DIFFERENTIATION OF STEM CELLS TO NEURAL CELLS

EL676442591US

Express Mail Label No.

EL676442591US

Date Mailed September 28, 2001

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

- | | |
|---|--|
| <p>1. [] Fee Transmittal Form
(Submit an original, and a duplicate for fee processing)</p> <p>2. [X] Specification (Total Pages (68))
(preferred arrangement set forth below)</p> <ul style="list-style-type: none"> - Descriptive title of the invention - Cross References to Related Applications - Statement Regarding Fed sponsored R&D - Reference to Microfiche Appendix - Background of the Invention - Brief Summary of the Invention - Brief Description of the Drawings (if filed) - Detailed Description - Claim(s) - Abstract of the Disclosure <p>3. [7] Drawing(s) (35 USC 113) (Total Sheets (7))</p> <p>4. [] Oath or Declaration (Total Pages ())</p> <p style="margin-left: 20px;">a. [] Newly executed (original or copy)</p> <p style="margin-left: 20px;">b. [] Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 17 completed)
[Note Box 5 Below]</p> <p style="margin-left: 40px;">i. [] DELETION OF INVENTOR(S)
Signed Statement attached deleting inventor(s)
named in the prior application, see
37 CFR 1.63(d)(2) and 1.33(b).</p> <p>5. [] Incorporation By Reference (useable if Box 4b is checked)
The entire disclosure of the prior application, from which a copy of
the oath or declaration is supplied under Box 4b, is considered as
being part of the disclosure of the accompanying application and is
hereby incorporated by reference therein.</p> | <p>6. [] Microfiche Computer Program (Appendix)</p> <p>7. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)</p> <p style="margin-left: 20px;">a. [] Computer Readable Copy</p> <p style="margin-left: 20px;">b. [X] Paper Copy (identical to computer copy) 6 sheets</p> <p style="margin-left: 20px;">c. [] Statement verifying identity of above copies</p> |
|---|--|

ACCOMPANYING APPLICATION PARTS

8. [] Assignment Papers (cover sheet & document(s))
9. [] 37 CFR 3.73(b) Statement [] Power of Attorney
(when there is an assignee)
10. [] English Translation Document (if applicable)
11. [] Information Disclosure [] Copies of IDS
Statement (IDS)/PTO-1449 Citations
12. [] Preliminary Amendment
13. [] Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
14. [X] Applicant Claims Small Entity Status
15. [] Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. [] Other: _____

17. a. If a CONTINUING APPLICATION, check appropriate box and supply requisite information.

[] Continuation [] Divisional [] Continuation-in-part (CIP)

of the following application(s), each of which is hereby incorporated herein by reference:

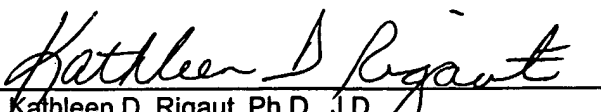
b. Priority Applications

In addition to any applications listed in 17a, the present application also claims priority to the following application(s), each of which is hereby incorporated herein by reference.

60/236,394 Filed September 29, 2000

18. CORRESPONDENCE ADDRESS

[X] Customer Number 000110 or
DANN, DORFMAN, HERRELL AND SKILLMAN, P.C.
1601 Market Street, Suite 720
Philadelphia, PA 19103-2307
Phone (215) 563-4100 Facsimile (215) 563-4044
to the attention of the individual identified below.


Kathleen D. Rigaut, Ph.D., J.D.
PTO Registration No. 43,047



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE


In re the Application of :
Derek Van Der Kooy :
Vincent Tropepe :
Serial No. 09/966,768 :
Filed: September 28, 2001 :
For: PRIMITIVE NEURAL STEM CELLS :
AND METHOD FOR DIFFERENTIATION OF :
STEM CELLS TO NEURAL CELLS :

SUBMISSION OF SUBSTITUTE SPECIFICATION AND
REPLACEMENT FORMAL DRAWINGS

A Notice to file Missing Parts indicating that a substitute specification is required as well as substitute drawings in compliance with 37 C.F.R. §1.52(a) and §1.84(e) was received in connection with the above-identified application. Accordingly, submitted herewith are a substitute specification and replacement formal drawings. The undersigned hereby avers that the specification and formal drawings are identical to those originally filed on September 28, 2001 and contain no new matter.

Respectfully submitted,
DANN, DORFMAN, HERRELL AND SKILLMAN
A Professional Corporation

By


Kathleen D. Rigaut, Ph.D., J.D.
PTO Registration No. 43,047

Telephone: (215) 563-4100
Facsimile: (215) 563-4044



UNITED STATES PATENT AND TRADEMARK OFFICE

Page 1 of 3
#3/158
COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/966,768	09/28/2001	Derek Van Der Kooy	Bereskin & Parr

CONFIRMATION NO. 6817

000110
DANN DORFMAN HERRELL & SKILLMAN
SUITE 720
1601 MARKET STREET
PHILADELPHIA, PA 19103-2307

FORMALITIES LETTER



OC000000007080964

Date Mailed: 11/16/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

02/04/2002 DABRAHAI 00000105 041406 09966768

FILED UNDER 37 CFR 1.53(b)

01 FC:201	370.00 OP
02 FC:203	65.00 OP
03 FC:203	261.00 OP
04 FC:202	126.00 OP
05 FC:204	114.00 OP

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 355 to complete the basic filing fee for a small entity.
- Total additional claim fee(s) for this application is \$516.
 - \$261 for 29 total claims over 20.
 - \$120 for 3 independent claims over 3.
 - \$135 for multiple dependent claim surcharge.
- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 936.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- A substitute specification in compliance with 37 CFR 1.52 because:
 - The specification cannot be scanned or properly stored. Page(s)
 - Papers must be legibly written either by a typewriter or mechanical printer in permanent ink or its equivalent in portrait orientation on flexible, strong, smooth, non-shiny, durable, and

white paper. Application papers must be presented in a form having sufficient clarity and contrast between the paper and the writing thereon to permit the direct reproduction of readily legible copies in any number by use of photographic, electrostatic, photo-offset, and microfilming processes and electronic reproduction by use of digital imaging and optical character recognition. Pages **Spec., Claims & Abstract** are not in compliance with 37 CFR 1.52(a). *The drawings filed are unacceptable because: Replacement page(s), together with a statement that the replacement page(s) contain no new matter, are required.*

- Substitute drawings in compliance with 37 CFR 1.84 because:
 - drawings submitted to the Office are not electronically reproducible. Drawing sheets must be submitted on paper which is flexible, strong, white, smooth, non-shiny, and durable (see 37 CFR 1.84(e));
- This application does not contain a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). Applicant must provide such statement. If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000).
- A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37 C.F.R. 1.821(e). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing" and a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

For questions regarding compliance to these requirements, please contact:

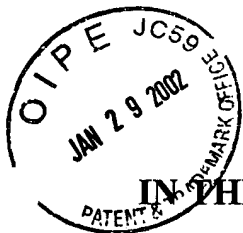
- **For Rules Interpretation, call (703) 308-4216**
- **To Purchase PatentIn Software, call (703) 306-2600**
- **For PatentIn Software Program Help, call (703) 306-4119 or e-mail at patin21help@uspto.gov or patin3help@uspto.gov**

The following item(s) appear to have been **omitted** from the application:

- Page(s) **62-64** of the specification (description and claims).

I. Should applicant contend that the above-noted omitted item(s) was in fact deposited in the U.S. Patent and Trademark Office (USPTO) with the nonprovisional application papers, a copy of this Notice and a petition (and \$130.00 petition fee (37 CFR 1.17(h))) with evidence of such deposit **must** be filed within **TWO MONTHS** of the date of this Notice. The petition fee will be refunded if it is determined that the item(s) was received by the USPTO.

II. Should applicant desire to supply the omitted item(s) and accept the date that such omitted item(s) was filed in the USPTO as the filing date of the above-identified application, a copy of this Notice, the omitted item(s) (with a supplemental oath or declaration in compliance with 37 CFR 1.63 and 1.64 referring to such items), and a petition under 37 CFR 1.182 (with the \$130.00 petition fee (37 CFR 1.17(h))) requesting the later filing date **must** be filed within **TWO MONTHS** of the date of this Notice.



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of: Derek Van Der Kooy and Vincent Tropepe

Application No.: 09/966,768

Filed: September 28, 2001

For: Primitive Neural Stem Cells and Method for Differentiation of Stem Cells to Neural Cells

Certificate of Mailing Under 37 C.F.R. §1.8(a)

I hereby certify that this correspondence is being deposited on January 16, 2002 with the United States Postal Service as first-class mail in an envelope properly addressed to COMMISSIONER OF PATENTS AND TRADEMARKS, Washington, DC 20231.

January 16, 2002
Date of Certificate

Jane C. Bogan
Jane C. Bogan

Hon. Commissioner of Patents and Trademarks
Washington, DC 20231
Dear Sir:

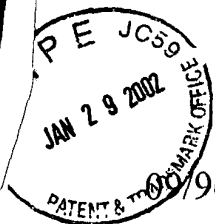
In response to the Notice to File Missing Parts of NonProvisional Application dated November 16, 2001, a copy of which is enclosed herewith, we are completing the above-identified U.S. Patent Application of
Derek Van Der Kooy and Vincent Tropepe
U.S. Patent Application No. 09/966,768.

The Notice to File Missing Parts required submission of:

Basic filing fee, additional claim fee, declaration surcharge,
Oath or declaration; Substitute Specification, Substitute drawings, statement that replacement pages of drawings contain no new matter, Sequence Listing in computer readable form along with statement that it is identical to paper copy, Petition for omitted pages of specification.

We are hereby submitting:

Copy of Notice to File Missing Parts
1 Sheets of Declaration, Power of Attorney and Power to Inspect;
Check in the amount of \$ 936.00
Substitute Specification
Substitute Drawings with statement
Computer Diskette with statement and Paper Copy of Sequence Listing
Petition for omitted pages of specification - Fee charged to Deposit Acct. No. 04-1406



966,768

The Fee has been calculated as follows:

Balance due by applicant as noted on Notice to File Missing Parts: \$936.00

In the event the check is improper, or the fee calculation is in error, the Commissioner is authorized to charge any underpayment or credit any overpayment to the account of the undersigned attorneys, Account No. 04-1406.

[X] A duplicate copy of this sheet is enclosed.

[X] Please address all communications to the following Correspondence Address:

Kathleen D. Rigaut, Ph.D., J.D.

DANN, DORFMAN, HERRELL AND SKILLMAN

1601 Market Street, Suite 720

Philadelphia, Pennsylvania 19103-2307

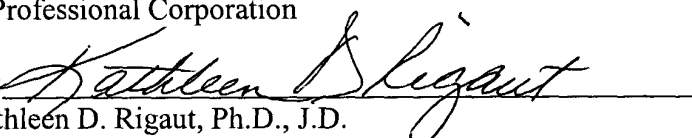
Telephone (215) 563-4100

Facsimile (215) 563-4044

Direct all inquiries to the undersigned agent

Respectfully submitted,
DANN, DORFMAN, HERRELL AND SKILLMAN
A Professional Corporation

By:


Kathleen D. Rigaut, Ph.D., J.D.

PTO Registration No. 43,047